

Please type a plus sign (+) inside this box →

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PTO/SB/81 (02-01)  
Approved for use through 10/31/2002. OMB 0651-0035U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it display a valid OMB control number.**POWER OF ATTORNEY OR  
AUTHORIZATION OF AGENT**

Application Number	09/788,300
Filing Date	02/16/2001
First Named Inventor	Vahala
Title	RESONANT OPTICAL FILTERS
Group Art Unit	
Examiner Name	
Attorney Docket Number	ALG08NP

I hereby appoint:

☒ Practitioners at Customer Number

36394


☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

☒ The above-mentioned Customer Number.

OR

☐ Practitioners at Customer Number
Place Customer  
Number Bar Code  
Label here
☐ Firm or  
Individual Name

Address

Address

City

State

Zip

Country

Telephone

Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).
**SIGNATURE of Applicant or Assignee of Record**

Name

Jeffrey S. Ritticher, President and CEO, Xponent Photonics Inc.

Signature

Date

4-1-2003

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 1 forms are submitted.

Burden Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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PTO/SB/96 (08-00)

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**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Xponent Photonics, Inc.Application No./Patent No.: 09/788,300 Filed/Issue Date: 02/16/2001Entitled: RESONANT OPTICAL FILTERSXponent Photonics, Inc., a corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: inventors To: cQuint Communications Corporation  
The document was recorded in the United States Patent and Trademark Office at Reel 011921, Frame 0278, or for which a copy thereof is attached.

2. From: cQuint Communications Corporation To: Xponent Photonics, Inc.  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☒ Copies of assignments or other documents in the chain of title are attached.  
[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

4-1-2003

Date

Jeffrey S. Rittichier

Typed or printed name

Signature

President and CEO, Xponent Photonics Inc.

Title

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JUL 10 2003  
TECHNOLOGY CENTER 2800

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PTO/SB/15 (02-01)

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**ASSIGNMENT OF APPLICATION**

Docket Number (Optional)

ALG08NP

Whereas, I/We, Peter C. Sercel of Pasadena, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Resonant optical filters

☒ for which an application for a United States Patent was filed on 02/16/2001

Application Number 09 / 788,300

☐ for which an application for a United States Patent was executed on \_\_\_\_\_

Whereas, cQuint Communications Corporation of Monrovia, CA hereafter referred to as assignee whose mailing address is 427 East Huntington Drive, Monrovia, CA 91016 desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of 10.00 dollars (\$ 10.00 ), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had the assignment and sale not been made.

Executed this 13<sup>th</sup> day of June, 2007  
at Monrovia, California

State of CALIFORNIA

County of Los Angeles

SS:

Before me personally appeared said PETER C. SERCEL

and acknowledged the foregoing instrument to be his free act and deed this 13<sup>th</sup> day of JUNE, 2007.

Seal



PAMELA STOCK  
Comm. # 1216780  
NOTARY PUBLIC - CALIFORNIA  
Los Angeles County  
My Comm. Expires April 23, 2003

(Notary Public)

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below\*.

\* ☒ Total of 5 forms are submitted.

Burden Hour Statement: This form is estimated to take 0.1 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner of Patents and Trademarks, Washington, DC 20231.

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**ASSIGNMENT OF APPLICATION**

Docket Number (Optional)

ALG08NP

Whereas, I/We, Kerry J. Vahala of San Gabriel, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Resonant optical filters

☒ for which an application for a United States Patent was filed on 02/16/2001

Application Number 09 / 788,300

☐ for which an application for a United States Patent was executed on \_\_\_\_\_

Whereas, cQuint Communications Corporation of Monrovia, CA herein referred to "assignee" whose mailing address is 427 East Huntington Drive, Monrovia, CA 91016 is

desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of 10.00 dollars (\$ 10.00 ), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 13<sup>TH</sup> day of JUNE, 20 01  
at MONROVIA, CA

State of CALIFORNIA  
County of LOS ANGELES

SS:

Before me personally appeared said KERRY J. VAHALA  
and acknowledged the foregoing instrument to be his free act and deed this 13<sup>TH</sup>  
day of JUNE, 2001.

Seal



PAMELA STOCK  
Comm. # 1216780  
NOTARY PUBLIC - CALIFORNIA  
Los Angeles County  
My Comm. Expires April 23, 2003

(Notary Public)

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below\*.

\* ☒ Total of 5 forms are submitted.

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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**ASSIGNMENT OF APPLICATION**

Docket Number (Optional)

ALG08NP

Whereas, I/We, Guido Hunziker of Altadena, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Resonant optical filters

☒ for which an application for a United States Patent was filed on 02/16/2001  
Application Number 09 / 788,300

☐ for which an application for a United States Patent was executed on \_\_\_\_\_, and

Whereas, cQuint Communications Corporation of Monrovia, CA herein referred to "assignee" whose mailing address is 427 East Huntington Drive, Monrovia, CA 91016 is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of 10.00 dollars (\$ 10.00), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 13<sup>th</sup> day of JUNE, 2001  
at MONROVIA, CA

State of CALIFORNIACounty of LOS ANGELES

SS:

Before me personally appeared said Guido Hunziker

and acknowledged the foregoing instrument to be his free act and deed this 13<sup>th</sup>  
day of JUNE, 2001.

Seal



PAMELA STOCK  
Comm. # 1216780  
NOTARY PUBLIC - CALIFORNIA  
Los Angeles County  
My Comm. Expires April 23, 2003

(Notary Public)

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

\* ☒ Total of 5 forms are submitted.

Burden Hour Statement: This form is estimated to take 0.1 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner of Patents and Trademarks, Washington, DC 20231.

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**ASSIGNMENT OF APPLICATION**

Docket Number (Optional)

ALG08NP

Whereas, I/We, David W. Vernooy of Sierra Madre, CA, hereafter referred to as applicant, have invented certain new and useful improvements in Resonant optical filters

☒ for which an application for a United States Patent was filed on 02/16/2001  
Application Number 09 / 788,300

☐ for which an application for a United States Patent was executed on \_\_\_\_\_, and

Whereas, cQuint Communications Corporation of Monrovia, CA herein referred to "assignee" whose mailing address is 427 East Huntington Drive, Monrovia, CA 91016 is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of 10.00 dollars (\$ 10.00 ), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 13<sup>th</sup> day of JUNE, 20 01  
at MONROVIA, CA

State of CALIFORNIACounty of LOS ANGELES

SS:

Before me personally appeared said DAVID W. VERNOOY

and acknowledged the foregoing instrument to be his free act and deed this 13<sup>th</sup>  
day of JUNE, 20 01.

Seal



PAMELA STOCK  
Comm. # 1216780  
NOTARY PUBLIC - CALIFORNIA  
Los Angeles County  
My Comm. Expires April 23, 2003

(Notary Public)

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below\*.

\* ☒ Total of 5 forms are submitted.

Burden Hour Statement: This form is estimated to take 0.1 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner of Patents and Trademarks, Washington, DC 20231.

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**ASSIGNMENT OF APPLICATION**

Docket Number (Optional)

ALG08NP

Whereas, I/We, Oskar J. Painter of \_\_\_\_\_, hereafter referred to as applicant, have invented certain new and useful improvements in \_\_\_\_\_  
Resonant optical filters

☒ for which an application for a United States Patent was filed on 02/16/2001

Application Number 09 / 788,300

☐ for which an application for a United States Patent was executed on \_\_\_\_\_, and

Whereas, cQuint Communications Corporation of Monrovia, CA herein referred to "assignee" whose mailing address is 427 East Huntington Drive, Monrovia, CA 91016 is desirous of acquiring the entire right, title and interest in the same;

Now, therefore, in consideration of the sum of 10.00 dollars (\$ 10.00), the receipt whereof is acknowledged, and other good and valuable consideration, I/We, the applicant(s), by these presents do sell, assign and transfer unto said assignee the full and exclusive right to the said invention in the United States and the entire right, title and interest in and to any and all Patents which may be granted therefor in the United States, I/We hereby authorize and request the Commissioner of Patent and Trademarks to issue said United States Patent to said assignee, of the entire right, title, and interest in and to the same, for his sole use and behoof; and for the use and behoof of his legal representatives, to the full end of the term for which said Patent may be granted, as fully and entirely as the same would have been held by me had this assignment and sale not been made.

Executed this 13th day of June, 20 01  
 at Monrovia, CA

State of CALIFORNIA

County of Los Angeles

SS:

Before me personally appeared said OSKAR J. PAINTER

and acknowledged the foregoing instrument to be his free act and deed this 13th  
 day of JUNE, 20 01.

Seal



PAMELA STOCK  
 Comm. # 1216780  
 NOTARY PUBLIC - CALIFORNIA  
 Los Angeles County  
 My Comm. Expires April 23, 2003

(Notary Public)

Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below\*.

\* ☒ Total of 5 forms are submitted.

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## SECRETARY OF STATE

I, *BILL JONES*, Secretary of State of the State of California, hereby certify:

That the attached transcript of 2 page(s) has been compared with the record on file in this office, of which it purports to be a copy, and that it is full, true and correct.



**IN WITNESS WHEREOF**, I execute this certificate and affix the Great Seal of the State of California this day of

MAR 11 2002

*Bill Jones*

Secretary of State



**CERTIFICATE OF AMENDMENT  
OF  
AMENDED AND RESTATED  
ARTICLES OF INCORPORATION  
OF  
cQUINT COMMUNICATIONS CORPORATION**

**ENDORSED - FILED**  
in the office of the Secretary of State  
of the State of California

**MAR 06 2002**

**BILL JONES, Secretary of State**

Jeffrey Rittichier and Pamela Stock hereby certify that:

A. They are the President and Secretary, respectively, of cQuint Communications Corporation, a California corporation (the "Corporation"):

B. Article I of the Amended and Restated Articles of Incorporation of the Corporation is amended and restated to read in its entirety as follows:

**I.**

The name of this corporation is Xponent Photonics Inc.

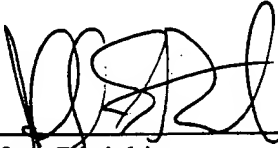
C. The amendment set forth herein has been duly approved and adopted by the Board of Directors of this Corporation.

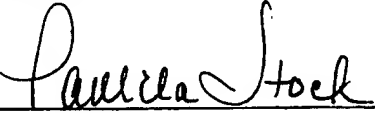
D. The amendment set forth herein has been duly approved by the required vote of the shareholders in accordance with Sections 902 and 903 of the California Corporations Code. The Corporation has outstanding 9,375,985 shares of Common Stock, 5,780,859 shares of Series A Convertible Preferred Stock and 10,666,668 shares of Series B Convertible Preferred Stock. The number of shares voting in favor of the amendment equaled or exceeded the vote required for approval. The percentage vote required for the approval of the amendment was more than 50% of the Common Stock, Series A Convertible Preferred Stock and Series B Convertible Preferred Stock voting together as a single class.

**\*COPY\***

The undersigned further declares under penalty of perjury under the laws of the State of California that the matters set forth in this Certificate are true and correct of my own knowledge.

Dated: Feb. 20, 2002

  
\_\_\_\_\_  
Jeffrey Rattichier  
President

  
\_\_\_\_\_  
Pamela Stock  
Secretary

\*COPY\*

459222

